



PATENT
Atty. Dkt. AMAT/5699.P3/CMP/CMP/RKK

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Liu, et al.

Serial No.: 10/608,404

Confirmation No.: Unknown

Filed: June 26, 2003

**For: Method and Composition
for Polishing a Substrate**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

CERTIFICATE OF MAILING 37 CFR 1.8
<p>I hereby certify that this correspondence is being deposited on August <u>26th</u>, 2003 with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450.</p> <p><u>08/26/2003</u> <u>Brian E. Grier</u></p> <p>Date Signature</p>

INFORMATION DISCLOSURE STATEMENT

The Applicants, and the Attorney who signs below on the basis of the information supplied by the inventor and the information in his file, submit herewith patents, publications, or other information of which they are aware, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

While the information submitted in this Information Disclosure Statement may be material pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication, or other information referred to therein is prior art for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97, this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other possibly material information as defined under 37 CFR § 1.56(a) exists.

The patents and/or publications submitted herewith are set forth on the attached Form PTO-1449.

AB/25/2003 GHOBDOE1 00000049 200782 10608404

01 EC-1806 180.00 DA

If the sum of \$180.00 is due under 37 CFR § 1.17(p) pursuant to § 1.97, the Commissioner is hereby authorized to charge this fee, and any other fee necessary to make this submission timely, to the Deposit Account No.: 20-0782/AMAT/5699.P3/BKH.

Respectfully submitted,

Brian K. Hrna
Brian K. Hrna
Registration No. 41,852
MOSER, PATTERSON & SHERIDAN, L.L.P.
3040 Post Oak Blvd., Suite 1500
Houston, TX 77056
Telephone: (713) 623-4844
Facsimile: (713) 623-4846
Attorney for Applicant(s)

U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. AMAT/5699.P3/CMP/ CMP/RKK	Serial No. 10/608,404
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant Liu, et al.	Confirmation No.: Unknown
Examiner Unknown		Filing Date June 26, 2003	Group Unknown

U.S. Patent Documents

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A1	6,440,295	08/27/2002	Wang	205	640	02/04/2000
	A2	6,395,152	05/28/2002	Wang	204	224M	07/02/1999
	A3	6,391,166	05/21/2002	Wang	204	224R	01/15/1999
	A4	6,348,076	02/19/2002	Canaperi, et al.	51	309	12/28/1999
	A5	6,276,996	08/21/2001	Chopra	451	41	11/10/1998
	A6	6,258,721	07/10/2001	Li, et al.	438	693	12/27/1999
	A7	6,234,870	05/22/2001	Uzoh, et al	451	8	08/24/1999
	A8	6,218,305	04/17/2001	Hosali, et al.	438	691	05/25/2000
	A9	6,217,416	04/17/2001	Kaufman, et al.	451	41	06/26/1998
	A10	6,206,756	03/27/2001	Chopra, et al.	451	28	11/10/1998
	A11	6,194,317	02/27/2001	Kaisaki, et al.	438	692	04/30/1998
	A12	6,190,237	02/20/2001	Huyng, et al.	451	41	11/06/1997
	A13	6,177,026	01/23/2001	Wang, et al.	252	79.1	05/26/1998

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B1	1 170 761 A1	09/01/2002	EP	H01G	09/035	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B2	1 103 346 A2	05/30/2001	EP	B24B	37/04	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B3	0 846 742 A2	06/10/1998	EP	C09G	1/02	<input type="checkbox"/>	<input checked="" type="checkbox"/>

OTHER ART

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C1	Nogami, "An Innovation to Integrate Porous Low-K Materials and Copper", <u>InterConnect Japan 2001</u> ; Honeywell Seminar (December 6, 2001) PP. 1 – 12
	C2	D. Landolt, "Fundamental Aspects of Electropolishing", 03/18/1996, pages: 1-11

Examiner _____ Date Considered _____

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. AMAT/5699.P3/CMP/ CMP/RKK	Serial No. 10/608,404
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(AUG 22 2003)</i>		Applicant Liu, et al.	Confirmation No.: Unknown
(Use several sheets if necessary) Examiner Initials Unknown		Filing Date June 26, 2003	Group Unknown

U.S. Patent Documents

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A14	6,153,043	11/28/2000	Edelstein, et al.	156	345	02/06/1998
	A15	6,143,656	11/07/2000	Yang, et al.	438	687	10/22/1998
	A16	6,143,155	11/07/2000	Adams, et al.	205	87	06/11/1998
	A17	6,126,853	10/03/2000	Kaufman, et al.	252	79.1	07/11/1997
	A18	6,117,853	09/12/2000	Sakai, et al.	514	78	01/12/1999
	A19	6,117,775	09/12/2000	Kondo, et al.	438	690	10/30/1998
	A20	6,096,652	08/01/2000	Watts, et al.	438	692	11/03/1997
	A21	6,090,239	07/18/2000	Liu, et al.	156	345	08/02/1999
	A22	6,077,412	06/20/2000	Ting, et al.	205	143	10/30/1998
	A23	6,066,030	05/23/2000	Uzoh	451	41	03/04/1999
	A24	6,056,864	05/02/2000	Cheung	205	222	10/13/1998
	A25	6,004,880	12/21/1999	Liu, et al.	438	692	02/20/1998
	A26	5,954,997	09/21/1999	Kaufman, et al.	252	79.1	12/09/1996
	A27	5,911,619	06/15/1999	Uzoh, et al	451	5	03/26/1997
	A28	5,866,031	02/02/1999	Carprio, et al.	252	79.1	06/19/1996

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B4	0 811 665 A3	12/10/1997	EP	C09G	01/02	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B5	P2001-77117A	03/23/2001	JP (English Abstract)	H01L	21/3205	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B6	1 618 538 A1	01/07/1991	SU	B23	H5/6	<input type="checkbox"/>	<input checked="" type="checkbox"/>

OTHER ART

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C3	Robert J. Contolini, "Electrochemical Planarization of ULSI Copper" June 1997, Solid State Technology, pages 155-156, 158 and 160.

Examiner	Date Considered
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.	

U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. AMAT/5699.P3/CMP/ CMP/RKK	Serial No. 10/608,404
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant Liu, et al.	Confirmation No.: Unknown
(Use several sheets if necessary)		Filing Date June 26, 2003	Group Unknown
EXAMINER & TRADEMARKS	Examiner Unknown		

U.S. Patent Documents

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A29	5,807,165	09/15/1998	Uzoh, et al	451	41	03/26/1997
	A30	5,575,706	11/19/1996	Tsai, et al	451	41	01/11/1996
	A31	5,567,300	10/22/1996	Datta, et al	205	652	09/02/1994
	A32	5,534,106	07/09/1996	Cote, et al	156	636.1	07/26/1995
	A33	5,225,034	07/06/1993	Yu, et al	156	636	06/04/1992
	A34	5,217,586	06/08/1993	Datta, et al	204	129.6	01/09/1992
	A35	5,256,565	10/26/1993	Bernhardt, et al.	437	228	05/08/1989
	A36	5,129,981	07/14/1992	Wang, et al.	156	628	03/14/1991
	A37	5,534,106	07/09/1996	Cote, et al	156	636.1	07/26/1995
	A38	5,096,550	03/17/1992	Mayer, et al.	204	129.1	10/15/1990
	A39	4,663,005	05/05/1987	Edson	204	129.85	09/03/1986
	A40	4,263,113	04/21/1981	Bernard	204	146	07/02/1980
	A41	3,873,512	03/25/1975	Latanision	204	129.46	04/30/1973
	A42	2,582,020	01/08/1952	Emery	204	140.5	07/15/1947

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B7	02/075804 A2	09/26/2002	WO	H01L	21/321	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B8	02/88229	11/07/2002	WO	C08J	5/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B9	02/23616	03/21/2002	WO	H01L	21/44	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B10	07/7241 A2	10/18/2001	WO	C09G	01/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B11	00/26443	05/11/2000	WO	C25D	N/A	<input checked="" type="checkbox"/>	<input type="checkbox"/>

OTHER ART

*Examiner Initial	Including Author, Title, Date, Pertinent Pages, Etc.		
Examiner	Date Considered		
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.			

U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. AMAT/5699.P3/CMP/ CMP/RKK	Serial No. 10/608,404
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>IP E</i> <i>AUG 22 2003</i> <i>PTAB TRADEMA</i>		Applicant Liu, et al.	Confirmation No.: Unknown
(Use several sheets if necessary)		Filing Date June 26, 2003	Group Unknown
Examiner	Unknown		

U.S. Patent Documents

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A43	2003/0116445	06/26/2003	Sun, et al.	205	674	05/07/2002
	A44	2002/0108861	08/15/2002	Emesh, et al.	C25D	11/02	02/12/2001
	A45	2002/0070126	06/13/2002	Sato, et al.	205	640	09/19/2001
	A46	2002/0008036	01/24/2002	Wang	205	118	04/18/2001
	A47	2002/0040100	04/04/2002	Kume, et al.	525	89	07/11/2001
	A48	2001/0036746	11/01/2001	Sato, et al.	438	745	03/08/2001

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B12	00/55876 A1	09/21/2000	WO	H01G	09/035	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B13	00/03426	01/20/2000	WO	H01L	21/321	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B14	99/65072	12/16/1999	WO	H01L	21/321	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B15	99/53532	10/21/1999	WO	H01L	21/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B16	98/04646	02/05/1998	WO	H01L	21/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B17	98/49723	11/05/1998	WO	H01L	21/321	<input checked="" type="checkbox"/>	<input type="checkbox"/>

OTHER ART

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C4	Partial International Search Report for US 02/40754 dated April 28, 2003 (AMAT/5998.PCT)
	C5	International Search Report for US 02/04806 dated April 1, 2003 (AMAT/5699.PC)
	C6	PCT International Search Report for US 03/06058 dated June 25, 2003. (AMAT/5699.PC.02)

Examiner	Date Considered
----------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.